DOCUMENT RESUME

ED 129 156 HE 008 244

TITLE	Recent Research on Private Higher Education. A Compilation. Policy Analysis Service Reports. Vol. 2, No. 2.
INSTITUTION	American Council on Education, Washington, D.C. Policy Analysis Service.
PUB DATE	Aug 76
NOTE	64p.
AVAILABLE FROM	Policy Analysis Service, American Council on Education, One Dupont Circle, Washington, D.C. 20036
EDRS PRICE	MF-$0.83 HC-$3.50 Plus Postage.
DESCRIPTORS	*Educational Administration; *Educational Finance; *Educational Research; Federal Aid; Governance; Government Role; *Higher Education; *Private Colleges; Proprietary Schools; *Research Projects; Research Reviews (Publications); State Aid; Student Financial Aid; Vocational Education
IDENTIFIERS	*Higher Education as a Field of Study

ABSTRACT

To collect information on recent and ongoing research studies relating to the present condition and the future of the private sector of higher education, various procedures were used, including letter solicitation to noted researchers, media notices, and informal requests. The procedures resulted in the identification of over 150 studies. The entry for each research study is organized as follows: (1) title; (2) status (publication information, sources for unpublished material or summaries, or expected date of completion); (3) name, identification, and (where pertinent) address of the investigator or sponsoring agency; and (4) a brief description of the content of the study. The overall topic was defined very broadly. Although the focus is on the private sector, some studies were just as concerned with the public sector. (JBH)

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ED129156

RECENT RESEARCH ON PRIVATE HIGHER EDUCATION

A Compilation

Policy Analysis Service Reports
Vol. 2, No. 2, August 1976

U S DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
EDUCATION

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American Council on Education
Washington, D.C. 20036

AMERICAN COUNCIL ON EDUCATION

Roger W. Heyns, President

The American Council on Education, founded in 1918 and composed of institutions of higher education and national and regional associations, is the nation's major coordinating body for post-secondary education. Through voluntary and cooperative action, the Council provides comprehensive leadership for improving educational standards, policies, and procedures.

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PREFACE

This compilation attempts to identify and briefly describe recent research studies that relate to private higher education. It was made possible by a grant from the Lilly Endowment and was prepared under the auspices of the American Council on Education, with the assistance and encouragement of the Association of American Colleges, the Brookings Institution, the ERIC Clearinghouse on Higher Education, the Institute for Educational Leadership, the National Council of Independent Colleges and Universities, and the U.S. Office of Education.

An earlier draft served as a background document for a conference held on 13-14 May 1976 at which researchers and policy-makers met to discuss issues related to the present condition and the future of private higher education. The main objectives were: (1) to provide a forum wherein leading researchers could exchange information; (2) to give state and federal policy-makers an opportunity to express their views on major questions connected with private higher education that might be answered by research; (3) to identify future research activities that might be useful; and (4) to provide a framework for such activities. A report of this conference is available from the Policy Analysis Service of ACE.

The descriptions of research activities that appear in this volume were prepared from information provided by a variety of sources. No attempt was made to clear the content of the description with the investigator or organization responsible for the study; therefore, inferences regarding its nature, substance, and potential usefulness are not necessarily theirs.

I would like to express appreciation to all those who contributed information and who gave help and support in preparing this document. In its present form, it owes much to the editorial skills of Laura Kent. Ruth Booker, Margaret Green and Mel Kelley typed the manuscript in its various stages and to them go my thanks. I alone, however, am responsible for errors or omissions.

August 18, 1976

Terry Hartle

INTRODUCTION

This compilation was prepared by Terry Hartle, working as a consultant to the American Council on Education. To collect information on recent and ongoing research studies relating to the present condition and the future of the private sector of higher education, various procedures were used. A letter was sent to some sixty noted higher education researchers asking them to describe and, if possible, send material (including completed reports) on any relevant research for which they were responsible and to furnish leads to research by other investigators. Similarly worded notices were placed in The Chronicle of Higher Education, Higher Education and National Affairs, Higher Education Daily, and Compass. Several informal networks were alerted as to the nature and intent of the project. The response to these requests was overwhelming. Finally, a search was made of the ERIC system and of the Smithsonian Science Information Exchange to locate studies and reports that seemed pertinent to private higher education.

The procedures resulted in the identification of over one-hundred-and-fifty studies, some completed, some in progress, and some still in the planning stages. In making decisions about what should or should not be included in this compilation, "studies that relate to private higher education" was defined very broadly. Thus, although the focus is on the private sector, some studies were just as concerned with the public sector. Very little was excluded, except for a small number of studies on which information arrived too late. Since the Council will continue to monitor research activities in this area, these studies and others that subsequently come to ACE's attention will be covered in future documents.

The entry for each research study is organized as follows:

(1) title (either the working title of the in-progress study or the actual title of the completed report);

(2) status: in the case of published reports, pertinent publication information is given; in the case of completed but unpublished studies, information is given on the source from which copies of unpublished material or summaries of the findings are available; in the case of studies still in progress, the expected date of completion is indicated;

(3) name, identification, and (where pertinent) address of the investigator(s) or the sponsoring agency;

(4) brief description of the content of the study.

Every effort was made to be as comprehensive and as accurate as possible. In a few cases, however, information was limited, and the investigator could not be reached for clarification.

The Very Small College (New York: Ford Foundation, 1976).

Joseph Kershaw
Department of Economics, Williams College
Williamstown, MA 01267 (413-597-2409)

Three small colleges were studied to find if smallness itself (i.e., 200-650 students) makes a difference to the financial and educational viability of an institution. The conclusion is that, though "smallness does generate some unique characteristics, . . . there is nothing inherent in the smallness of an institution that accounts for financial troubles" (p. 22). Moreover, small colleges deserve to survive because they provide "a special type of education to a special type of student" (p. 21).

"The Future of Diversity in a Time of Retrenchment" (Higher Education, 4, 1975, pp. 461-82).

David Riesman
Henry Ford II Professor of Social Sciences
William James Hall, Harvard University
Cambridge, MA 02138 (617-495-1502)

This study examines the reasons for the decline of enrollments in private institutions and speculates on the probable impact of the virtual disappearance of the private sector. It also proposes an Educational Opportunity Bank to provide student loans with a view toward maintaining diversity, quality, and freedom of student choice and movement.

"The Purposes of the Independent Institution" (Educational Record, Summer 1976, pp. 145-48; as adapted from a speech presented at a meeting of the Independent Colleges and Universities of Texas, Houston, 5 August 1975).

Stephen Muller, President
The Johns Hopkins University
Baltimore, MD 21218

Private institutions are indispensable to postsecondary education in this country for four reasons: (a) they serve as a counterweight to public governance and control; (b) they help ensure freedom of religion; (c) they help preserve student choice; and (d) they help maintain academic quality.

"Public and Private Higher Education: Differences in Role, Character, and Clientele" (Draft completed and submitted to U.S. Office of Education, April 1976).

Elaine El-Khawas
Office of Academic Affairs, American Council on Education
Suite 826, #1 Dupont Circle
Washington, DC 20036 (202-833-4719)

This analysis highlights points of distinctiveness between public and private institutions. More than 100 variables were examined, and the following differences defined: in institutional character (enrollment size, geographical location, academic and financial resources); in student clientele (background characteristics, academic plans and interests, sources of financial support); and academic character (program emphasis, opportunities for leadership experience, and orientation toward students). Though public and private institutions share many roles and purposes, the two sectors differ in relative emphasis. Because these differences serve significant social ends. it is important that a diversity of institutions, encompassing a wide range of educational offerings and styles, continues to be available to the nation's citizens.

Renewing the University (In progress).

[illegible]ewart, Associate Dean
Univ[illegible] of Pennsylvania, 210 Logan Hall
Philadelphia, PA 19174 (215-243-4819)

In 1900, the Association of American Universities (AAU) was formed; its 14 member institutions (California, Catholic, Chicago, Clark, Columbia, Cornell, Harvard, Johns Hopkins, Michigan, Pennsylvania, Princeton, Stanford, Wisconsin, Yale)had most of the graduate programs and did most of the university-based research in the nation. This study will trace the development of these 14 institutions, qualitatively and quantitatively (including financially) over the last 75 years, giving particular emphasis to both internal and external problems of the last decade.

"The American Private University" (Minerva, January 1973, pp. 6-29).

Edward Shils

This examination of the position of the leading private universities in the American academic system compares the legal independence of our private

institutions with their lack of autonomy in European countries. Governance, not source of income, is the truly distinctive feature of American higher education. The conclusion is that private universities--which are free of the demands of public support and approval--should devote more time to considering the development and enrichment of the university as an intellectual undertaking, a task which transcends the needs of the moment.

"In Defense of the Private Sector" (Daedalus, Winter 1975, pp. 156-60).

Richard Lyman, President
Stanford University

In American life generally, the tides are running against the private sector, and this trend helps to explain the problems encountered by private academic institutions. Another factor accounting for their difficulties is that the case for the survival and support of private higher education is rather subtle and difficult to make. A campaign is needed to preserve pluralism in higher education.

"Does the Small Private College Have a Future?" (Presented at the Annual Meeting of the Council of Small Private Colleges, Washington, D.C., January 1975).

T. H. Bell
U.S. Commissioner of Education
400 Maryland Ave., SW
Washington, DC 20202

The small private college has a future if it will roll with the times. The survival of an institution will be assisted if its course offerings are restructured so that students emerge with (a) salable work skills, (b) the ability to communicate their thoughts clearly in speech and writing, and (c) economic literacy, so that they can become independent through personal money management.

"Curriculum and Instructional System Change in Selected Small Liberal Arts Colleges" (Unpublished report; findings available from author).

George Lepchenske
University of Arizona, P.O. Box 3356
Tucson, AZ 85722 (602-887-1605)

The purpose of this study was to identify and describe the changes in instructional systems and curriculum processes that occurred at a selected sample of liberal arts colleges between 1969-70 and 1974-75, a period chosen to see what influence, if any, student activism had on such changes. Interinstitutional cooperation seems to be the most common technique for making programs responsive to demands for a relevant liberal arts education.

"Four-Year Baccalaureate Completion Rates: A Limited Comparison of Student Success in Private and Public Four-Year Colleges and Universities" (Draft completed and submitted to U.S. Office of Education, April 1976).

Ergin I. Holmstrom & Paula Knepper
Policy Analysis Service, American Council on Education
Suite 829, #1 Dupont Circle
Washington, DC 20036 (202-833-4745)

The educational progress (as measured by baccalaureate completion rates) of students in public and private institutions was examined. Regardless of sex, racial/ethnic background, ability, or family income, the student attending a private college was more likely than was the student attending a public college to complete the baccalaureate within four years after college entry. The implication is that, while public institutions will continue to play a major role in equalizing opportunity for access to higher education, private institutions may contribute more toward equalizing educational results or outcomes.

The Future of Private Colleges: The Effects of Rising Costs on College Choice (Princeton, NJ: Department of Economics, Princeton University, 1973).

Richard Spies
3 Nassau Hall, Princeton University
Princeton, NJ 08540 (609-542-3112)

This study aimed at finding out how college choice is affected by the rising tuition and other charges at the most selective institutions and by the widening

gap in costs between private and public institutions. For a nationwide sample of highly able high school seniors (i.e., those who scored 1000 or higher on the Scholastic Aptitude Test), financial considerations proved to be much less important than did educational considerations.

"New Careers in Senior Black Private Colleges as a Strategy for Institutional Survival in the 1980s" (Unpublished dissertation, completed in December 1975; findings available from author).

Anita Ford Allen
5701 Moreland St., NW
Washington, DC 20015

Surveying "new career thrusts" in 18 private, historically black colleges, this study finds decided efforts to improve the standard liberal arts curricula and, more important, to anticipate and meet manpower needs through the 1980s through introduction of new career-oriented courses and major fields.

"Private/Public Higher Education and the Competition for High Ability Students" (Journal of Human Resources, 4, Fall 1975, pp. 500-11).

Richard Anderson
Teachers College, Columbia University
New York, NY 10027 (212-678-3750)

Public higher education is not only enrolling larger proportions of students than is private higher education but also has become increasingly attractive to academically superior students. An examination of state policies reveals that their relatively low tuitions, as well as their expansion in numbers, give public colleges the advantage in competing for able students.

Cooperative Institutional Research Program: Annual Survey of Entering Freshmen (Ongoing project now in its eleventh consecutive year).

Alexander Astin
Graduate School of Education, UCLA
Los Angeles, CA 90024 (213-825-1925)

This annual survey of first-time, full-time freshmen entering a representative sample of higher educational institutions provides national comparative data on public and private higher education. The national norms that are published each year show that private institutions cannot be regarded as a homogeneous group. The characteristics of students entering different types of private institutions vary so widely as to render suspect any general conclusions about the clientile of the private sector.

Preventing Students From Dropping Out (San Francisco: Jossey-Bass, 1975).

Alexander W. Astin
Graduate School of Education, UCLA
Los Angeles, CA 90024 (213-825-1925)

This four-year follow-up of the 1968 entering freshmen, conducted in the summer of 1972, was undertaken to determine whether the type of institution a student attends (public vs. private) is related to his/her chances of dropping out, stopping out, or completing college study. In general, private institutions were found to have greater holding power than public institutions, although variations were considerable among institutional subtypes; thus, private universities had lower-than-expected dropout rates, and private four-year colleges had higher-than-expected dropout rates.

Desegregating America's Colleges: A Nationwide Survey of Black Students, 1972-73 (Boston, MA: A Better Chance, 1974).

William M. Boyd
Education Policy Center, A Better Chance
334 Boylston St.
Boston, MA 02116 (617-536-5270)

This study attempts to describe, from a black perspective, the situation of most black students in predominantly white colleges; to recommend constructive approaches to educating these students (outlining goals and timetables); to provide baseline data for subsequent assessment of progress; and to identify areas requiring further research or evaluation.

Student Aid: Descriptions and Options (Menlo Park, CA: SRI, October 1975).

John Lee & Daryl Carlson
Stanford Research Institute
333 Ravenswood Ave.
Menlo Park, CA 94025 (415-326-6200)

After describing how student aid is currently distributed among the states, types of institutions, and income categories of students, this study presents a linear program model to simulate alternative student aid policies. Among the conclusions: Students attending private institutions receive too little aid relative to their need; lower-middle-income students get less than an equitable share of student aid funds; and the awarding of student aid bears little relation either to low-income status or to financial need.

The Impact of Financial Aid Programs on College Choice (In progress; expected completion date, December 1976).

Alexander Astin, Lewis Solmon, & Helen Astin
Higher Education Research Institute
824 Westwood Blvd.
Los Angeles, CA 90024 (213-478-6556)

This three-year project, aimed at providing a comprehensive picture of the factors (including financial aid programs) that influence the student's choice of a college comprises four interrelated studies. Study A, directed by Alexander Astin, focuses on the impact of federal and state aid programs on college choice. Study B, conducted by Steven Dresch, looks at the impact of labor market conditions, educational costs, and financial aid on college choice. Study C, conducted by Helen Astin and Lewis Solmon, analyzes the complex role of financial aid in student persistence. Study D, directed by Daryl Carlson, examined the relation of federal and state aid programs to institutional practices in recruiting and admitting students and in dispensing financial aid.

Federal Student Loan Programs: Report of a Seminar Held May 15, 1974 (Policy Analysis Service Reports, Vol. 1, No. 1, March 1975).

Policy Analysis Service, American Council on Education
Suite 829, #1 Dupont Circle
Washington, DC 20036 (202-833-4794)

The first of a series of seminars sponsored by ACE to discuss some of the

critical issues of student aid programs and student access to postsecondary education, the seminar summarized in this report focused on the two federally supported student loan programs: the National Direct Student Loan program (NDSL) and the Guaranteed Student Loan Program (GSLP). Four speakers were featured. First, Richard Ramsden (Consortium on Financing Higher Education) described an 18-month study of the cost of financing undergraduate education at nine high-cost private institutions. Second, Bruce Johnstone (formerly project director of the Ford Foundation's studies of income-contingent lending) talked about the cost effectiveness of current federal loan programs, outlined the income-contingent concept, and emphasized the need for a loan plan directed at parents. Third, Daniel Morrissey (Office of Planning, Budgeting, and Evaluation, U.S. Office of Education) described the uses and limitations of OE's model on loan defaults. Fourth, Carol Wennerdahl (Illinois Guaranteed Loan Program) raised five crucial questions with respect to the GSLP.

New Concepts of Student Access: Report of a Seminar Held August 27, 1974 (Policy Analysis Service Reports, Vol. 1, No. 3, March 1975).

Policy Analysis Service, American Council on Education
Suite 829, #1 Dupont Circle
Washington, DC 20036 (202-833-4794)

Another in the series of seminars mentioned in the previous entry, this seminar took a long-range perspective on the question of access to higher education. Four new concepts were presented and discussed. First, Guy Solie (Duke University) outlined the Education Security Fund, a proposed independent agency sponsored by the federal government and designed to give the children of middle-income families total access to postsecondary education. Second, Margaret Gordon (Carnegie Council on Policy Studies in Higher Education) discussed the possibilities and ramifications of guaranteeing two years of low or no tuition in postsecondary education. Third, James Jung (Higher Educationa Aids Board, State of Wisconsin) described two Wisconsin programs which target financial assistance at the completion of the postsecondary educational experience. Fourth, Robert J. Pitchell (National University Extension Association) talked about the Hartke Family Tuition Assistance Plan, which would provide across-the-board tuition assistance to all students at all types of accredited postsecondary institutions.

Student Expenses at Postsecondary Institutions (New York: CEEB, 1975. Annual report in a series begun in 1973-74).

Elizabeth Suchar
College Entrance Examination Board
888 7th Ave.
New York, NY 10019 (212-582-6210)

The average expenses of resident students, commuting students, and self-supporting students attending over 2,400 postsecondary institutions in 1975-76 are presented in 17 tables. Key findings were: (a) the total expenses of resident students were about $400 more than those of commuting students; (b) between 1974-75 and 1975-76, total expenses rose faster at public than at private institutions; (c) the overall price increase for students at all types of institutions over this one-year period was 8 percent; (d) tuition differences between public and private institutions were $1,351 for two-year colleges and $1,662 for four-year colleges.

"Student Loan Proposals and Plans in Higher Education: An Analysis of Student Preferences and Attitudes" (University Park, PA: Center for the Study of Higher Education, Pennsylvania State University, 1976; xerox).

John Brugel, Gary Johnson, & Larry Leslie
Center for the Study of Higher Education
101 Rackley Bldg., Pennsylvania State University
University Park, PA 16802 (814-865-6346)

This study questions the validity of several assumptions regarding student preferences and behaviors with respect to student loans. Three-fourths of those interviewed reported that the availability of a greater number of loan options would increase their willingness to borrow. It was found that, at a $3,000 debt level, student borrowers favored a ten-year repayment period. When faced with a high debt level, student borrowers tended to favor income-contingent loan plans, until they were exposed to the appropriate amortization schedules, at which point conventional loan plans became equally attractive. The study concluded that students have distinct preferences and that if such preferences can be translated into public policy, loan programs may be more effective and responsive.

"Some Problems in the Use of Income-Contingent Loans for the Finance of Higher Education" (Journal of Political Economy, 83, 1975, pp. 157-83).

Marc Nerlove
Northwestern University
Evanston, IL 60201

This paper analyzes Friedman's 1955 proposal that individuals sell "shares" in their future income streams to finance their higher education. The Yale Tuition Postponement Option is used to illustrate some of the difficulties involved in implementing such a proposal. It is shown that the impact of such programs on individuals depends largely on a number of empirical aspects of behavior that are, at present, poorly understood.

The College Student Grant Study (University Park, PA: Center for the Study of Higher Education, Pennsylvania State University, May 1975).

Jonathan D. Fife
ERIC Clearinghouse on Higher Education
Suite 630, #1 Dupont Circle
Washington, DC 20036 (202-296-2597)

This study examines central issues in the financing of higher education: namely, whether student aid promotes student choice, and whether financing higher education through students benefits private institutions. It concludes that, while student aid does little to promote access for the lowest-income and lowest-status group, it increases access significantly for the next group up the scale and, in addition, promotes choice. Finally, while private institutions do gain enrollments because of student aid, public institutions do not lose and therefore have nothing to fear.

Paying for College: Financing Education at Nine Private Institutions (Hanover, NH: CFHE, 1974).

Richard Ramsden
Consortium on Financing Higher Education
Box 251
Hanover, NH 03755 (603-646-3282)

Under funding from the Sloan Foundation, the Consortium looked at how undergraduates finance their education at nine high-cost private institutions (Amherst, Brown, Dartmouth, Harvard, MIT, Mount Holyoke, Princeton, Wellesley, Wesleyan). The report compares costs among institutions, discusses the ability of students (or their parents) to pay these costs, and identifies new sources available for the financing of higher education. The volume of loan funds available to students should be expanded, and at the same time safeguards should be established to protect students from unrealistic debts. Proposals are made to increase the effectiveness of the Guaranteed Student Loan Program and to create a supplemental loan program to help young alumni who experience difficulty in meeting payments on their loans.

Federal Student Assistance: A Review of Title IV of the Higher Education Act (Hanover, NH: CFHE, April 1975).

Richard Ramsden
Consortium on Financing Higher Education
Box 251
Hanover, NH 03755 (603-646-3282)

An analysis of federal student aid programs, this paper attempts to (a) define more clearly the specific goals of the various federal student assistance efforts, (b) recommend ways of simplifying and coordinating the various programs, and (c) suggest changes whereby federal student assistance programs will serve tehir function with clarity and accountability. Among the changes suggested, for the purpose of channeling more resources to private institutions, are the following: (a) to increase the interest rate on National Direct Student Loans from 3 percent to 7 percent; (b) to eliminate the NDSL cancellation provision; (c) to establish higher standards for both borrowers and lenders under both federal loan programs; (d) to increase the institution's share of the College Work-Study program; and (e) to eliminate the half-cost provision in the BEOG program.

Financing Undergraduate Grant Aid 1967-1976 (Hanover, NH: CFHE, 1976).

Richard J. Ramsden
Consortium on Financing Higher Education
Box 251
Hanover, NH 03755 (603-646-3282)

This analysis of the various sources (institutional, state, federal, and other) of undergraduate grant aid at each of the 30 member institutions of the Consortium from 1967-1976 found that, despite enormous variations, the overall pattern was one of the large institutional expenditures. The member institutions spent over $500 million of their own funds on undergraduate grants while receiving only $38 million from the federal government.

GOVERNANCE AND MANAGEMENT

The Causes of the Demise of 60 Private Liberal Arts Colleges (In progress).

Lloyd Andrews
College of Education
Virginia Polytechnic Institute and State University
Blackburg, VA 24061 (703-951-6136)

Preliminary findings from this inquiry into why some liberal arts colleges close down or merge with other institutions suggest that poor financial or enrollment planning, conflict over the mission of the institution, and inability to adapt to changes in social values are more to blame than is competition from the public sector.

Private College and University Participation in Statewide Planning (To be published in condensed form by the Education Commission of the States in fall 1976).

Jay Chronister
School of Education, University of Virginia
Charlottesville, VA 22903 (804-924-3334)

This survey of the state coordinating or governing boards in the fifty states attempts to ascertain the degree to which the private sector is involved in statewide planning for higher education and the nature of that involvement.

Development of Measures of Cost Effectiveness at Institutions of Postsecondary Education (In progress; expected completion date, December 1976).

Ernest Palola
Empire State College, New York
2 Union Ave.
Saratoga Springs, NY 12866 (518-474-0366)

This project, supported by the Fund for the Improvement of Postsecondary Education (FIPSE) and now in its second year, seeks to develop and implement measures that relate costs to the desired outcomes of educational programs. In the first year, the project staff developed measures of cost effectiveness based on Empire State College's academic program. The project team is currently testing the value of these measures at four other institutions. The ultimate aim is to produce a revised manual of cost effectiveness.

Education and Planning Assistance in Change Management for Colleges and Universities (In progress; expected completion date, 31 December 1976).

John Millett
Academy for Educational Development
1414 22nd St., NW
Washington, DC 20036 (202-293-5690)

This three-year program is designed to help institutions plan for necessary adjustments in instructional and other programs, enrollments, financing, and governance and management. Project staff will work with a team from each university to develop a planning procedure and a management information system, to use planning models, and to identify workable alternatives that will meet the conditions expected by 1985.

The Conversion of Four-Year Colleges to Two-Year College Status (In progress).

Kent Beeler, Assistant Professor of Education
Eastern Michigan University
Ypsilanti, MI 48197

This project uses a case-study approach to generate and profile data on the academic and fiscal characteristics of institutions that have converted from baccalaureate-granting status to two-year college status since 1956. Preliminary evidence indicates that nearly all such institutions were in the private sector. An attempt will be made to ascertain what specific changes occur and what techniques are used to ensure that the institution will remain flexible enough to survive. Guidelines will be developed for institutions considering such a move.

"The Academic Entrepeneur" (Unpublished dissertation, completed in 1975).

Joseph Mancuso
Worcester Polytechnic Institute
Worcester, MA 01609 (617-753-1411)

The purpose of this study was to conceptualize, from the perspective of the businessman, management issues and alternatives for small private colleges. Defining criteria for decision making and proposing alternatives, rather than providing a "single miracle solution," was emphasized.

Major Policy Changes of Private Colleges: Education and Fiscal Duplications (In progress; expected completion date, September 1976).

Richard Anderson & Jerry Haar
Box 34, Teachers College, Columbia University
New York, NY 10027 (212-678-3750)

This study uses the College and University Environmental Scales (CUES) to measure changes in the "educational-cultural" climate of 175 colleges that have

converted from single-sex to coeducational institutions or from a religious to a nonsectarian orientation. The findings are intended to help college administrators who have changed or are considering a change in the historical mission of their institutions. The data should also be useful to public policy analysts seeking information on the financial strength of private higher education.

Research and Management Project of CASC (In progress).

William Shoemaker, Director of Research
Council for the Advancement of Small Colleges
Suite 750, #1 Dupont Circle
Washington, DC 20036 (202-659-3795)

This three-year project is intended to help small private liberal arts colleges improve their planning, management, and performance. Phase I consists of research and development; in Phase II, a manual of twelve data modules will be reproduced and distributed to a large stratified sample of liberal arts colleges; Phase III will involve analysis, interpretation, and organization of national data, along with publication of twelve monographs on the topics studied.

"Statewide Planning and Coordination of Postsecondary Education: Relationship to Private, Nonprofit Postsecondary Educational Institutions" (Unpublished dissertation, completed in 1975).

James P. Lyddy
Office of University Relations, Seattle University
Seattle, WA 98122

This study used the Delphi technique to identify changes needed in the "1202 Commission" guidelines to bring them into conformity with the principles which should characterize statewide planning of private, nonprofit postsecondary education. The study concludes that so far most 1202 Commissions have been primarily concerned with meeting the needs of the public sector--perhaps because commission members are usually appointed by the state governor--and thus have neglected the private sector. Private institutions should take the initiative in working with 1202 Commissions, should continue to seek direct and indirect subsidies, and should attempt to define their problems clearly.

State Budgeting in Higher Education: Practice and Theory (In progress; expected completion date, 30 June 1976).

Lyman Glenny
Center for Research and Development in Higher Education
University of California
2150 Shattuck Ave.
Berkeley, CA 94704 (415-642-7509)

This study attempts to meet the need of decision-makers for systematic analysis and description of state budget formulation in postsecondary education. Focusing on the administrative and policy interface between postsecondary education and state agencies from the time the budget is submitted until appropriations are made, this three-year, six-phase study will use a common data base for descriptive and analytic purposes; thus, one of its by-products will be a computerized data bank for future needs. Two reports are planned: the first to describe and compare state budget formulation activities, and the second to analyze propositions from organizational theory as applied to budgetary decision processes.

Faculty Development Project of CASC (In progress).

Gary Quehl & William Berquist
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Suite 750, #1 Dupont Circle
Washington, DC 20036 (202-659-3795)

This 18-month program, the second stage of a long-term faculty development project, seeks to develop faculty by training institutional personnel so that they may serve as on-campus consultants. It is hoped that these on-campus consultants will use their new or improved skills to promote the improvement of teaching/learning processes through instructional, personal, and organizational development at their colleges. The final stage of this project will probably involve the creation of regionally based faculty development programs.

Internal Consulting Network of CASC (In progress).

William H. Berquist
Council for the Advancement of Small Colleges
Suite 750, #1 Dupont Circle
Washington, DC 20036 (202-659-3795)

This project is designed to create a nationwide interinstitutional consulting network for CASC member colleges. The network, coordinated by the CASC Washington office, will enable member colleges to draw on a wide array of consulting services at modest cost. A taxonomy of the proposed activities, functions, and services of the network is being designed and tested.

Research and Evaluation of Structures of Governance in Higher Education (In progress; expected completion date, January 1977).

John Millett
Academy for Educational Development, Inc.
1414 22nd St., NW
Washington, DC 20007 (202-293-5690)

This project explores the governance experiences of a selected sample of public and private four-year colleges to determine the relation between an institution's internal administrative structure, faculty governance, and ability to adjust to change. The chief areas of investigation are clarification of purposes, specification of program objectives, budget allocation, income development, and management improvement techniques. Currently, case studies of governance experience are being prepared. The following report on the allocation of resources was written as part of this project.

Allocation Decisions in Higher Education (Washington: AED [1975]).

John Millet
Academy for Educational Development, Inc.
1414 22nd St., NW
Washington, DC 20007 (202-293-5690)

This essay discusses the changing process of resource allocation in higher education, the drive to involve groups previously excluded from the decision process (e.g., students, the community), the economic and political forces that affect allocation decisions, and some of the systems and procedures that have been proposed as alternatives to the current system.

Trustee Leadership Program of AGB (In progress).

Wayne Anderson
Association of Governing Boards of Colleges and Universities
Suite 720, #1 Dupont Circle
Washington, DC 20036 (202-296-8400)

This project is intended to serve as a catalyst, inspiring AGB members to maximize their potential. Three primary tasks have been identified: (a) the collection and dissemination of materials to lay governance boards; (b) the development of specific standards or principles to help governing boards assess their own practices and performance; and (c) the provision of direct services to trustees in the form of information and counsel on actual problems facing institutions, management policy analysis, and an investigation of the impact of collective bargaining on the role of the trustees.

Institutional Management for Accountability and Renewal (Status unknown).

H. Blanton
National Laboratory for Higher Education
Mutual Plaza
Durham, NC 27701

This project is designed to provide administrators and faculty at small four-year colleges, two-year colleges, and black colleges with the skills and instruments they need to take a systematic, comprehensive, and coordinated approach to management, administration, instruction, and curriculum. It is hoped that the program will enable institutional staff to respond efficiently and effectively to continuing demands for change, to make data-based decisions, and to meet demands for accountability and satisfactory performance.

Higher Education Administration: Beyond the Bicentennium (In progress; expected completion date, September 1976).

George Mauer
Department of Executive Management/SEOO
State of South Dakota, 120 E. Capitol
Pierre, SD 57501

This work seeks to assess the current problems of a national cross-section of higher education administrators (presidents, vice-presidents, deans, and chairpersons at both public and private institutions) and to evaluate the appropriateness of their training to meet these challenges effectively. Preliminary results suggest that most higher education administrators have limited formal preparation for meeting the sophisticated demands of their positions. The study suggests that attention be directed to the form and function of post-secondary organization and management and to preparatory training for administrative posts.

Appraising Administrative Operations: A Guide for Universities and Colleges (Berkeley: University of California, Office of Statewide Administration, forthcoming).

Gerald Griffin & David Burks
Office of Statewide Administration
University of California
Berkeley, CA 94720

This step-by-step description of how to establish and conduct a program of continuous improvement in administrative operations emphasizes maximum reliance on existing, in-house resources. Management appraisal should be an integral and permanent part of an institution's administrative processes. Adaptability and flexibility are necessary. The report uses examples from the University of California System experience to show how review activities can be applied in diverse settings.

The Impact of the Postsecondary Enrollment Slowdown Upon Types of Institutions (In planning stage).

Daryl Carlson & Larry Leslie
Center for the Study of Higher Education
101 Rackley Bldg., Pennsylvania State University
University Park, PA 16802 (814-865-6346)

This study seeks to move beyond future enrollment projection studies to determine which institutions will grow, which stabilize, and which decline. Its purpose is to formulate disaggregated national enrollment forecasts by institutional type and to determine the part various institutional characteristics play in past and future institutional enrollments. Phase I will involve the disaggregation of postsecondary enrollments back to 1969-70. Phase II will consist of disaggregated enrollment forecasts, including a quantitative exploration of the variables that will be associated with future enrollment growth, stability, and decline in various institutional types. An institutional forecasting model and a state-by-state forecast will also be developed.

"Planning in Higher Education: Approaches and Problems" (College and University, 51, Winter 1976, pp. 153-160).

Louis C. Vaccaro, President
Colby-Sawyer College
New London, NH 03257

This article deals with the general principles of planning and some of the problems usually encountered in small private liberal arts colleges. Suggestions are made for improving the planning process in higher education. The role of the president is seen as especially crucial.

Costs of College: 1974 (Completed in 1974; findings available from Salvatore Corrallo, Room 4079, U.S. Office of Education, 400 Maryland Ave., SW, Washington, DC 20202, 202-245-7884).

William Morsch
Columbia Research Associates
19428 Twentieth Street Station
Washington, DC 20036

This analysis of the impact of continuing financial constraints on higher education assesses the aggregate financial health of colleges and universities in 1974, looking at changes in institutions' revenues from student charges. Declines in revenues and increases in operating costs have obligated most sample institutions (46 of the 50 institutions participating in earlier Cost of College studies) to rely more heavily on tuition and fees. At the same time, students have become increasingly sensitive to price changes. The long-term financial prospects of private institutions would seem to be more problematic today than in the past.

"The Financial Health of Women's Colleges" (Recently completed; findings available from author).

G. Richard Wynn
Cedar Crest College
Allentown, PA 18104 (215-437-4471, x252)

This study seeks to diagnose the financial health of "nonelite women's colleges," raising such questions as: How are they making it? Is the women's movement having a favorable impact on these colleges? Will additional sources of external support be necessary to ensure their survival?

"A Financial Taxonomy of Institutions of Higher Education" (Draft completed and submitted to the U.S. Office of Education, April 1976).

Patricia Smith & Cathy Henderson
Policy Analysis Service, American Council on Education
Suite 829, #1 Dupont Circle
Washington, DC 20036 (202-833-4744)

This empirical taxonomy of higher education institutions used factor analysis and cluster analysis of ACE and HEGIS data to categorize institutions by their patterns of current fund revenues and expenditures. Thirty-two groups of institutions falling into five clusters were identified according to their

dominant revenue source: (a) tuition, (b) endowment income, (c) annual private giving, (d) sponsored research revenues, and (3) state/local appropriations. The vast majority of private schools fall into the first and third clusters, suggesting that public policies of increased student support and tax incentives to encourage private giving would aid these institutions.

"Development and Application of Measures of Financial Conditions of Colleges and Universities" (Completed and submitted to the U.S. Office of Education, April 1976).

Carol Van Alstyne & Sharon Coldren
Policy Analysis Service, American Council on Education
Suite 827, #1 Dupont Circle
Washington, DC 20036 (202-833-4744)

This report represents the first step in a larger project to develop and refine new measures and definitions of the financial health of institutions. It is hoped that this project will generate data suitable for institutional management, accreditation, the development of public and private financial resources, and statewide planning and coordination.

Private Higher Education and Public Funding (Recently completed; soon to be published as an ERIC Research Report).

Louis Benezet
Research Group for Human Development and Educational Policy
#217 Old Chemistry Building
State University of New York at Stony Brook
Stony Brook, NY 11794

Focusing on the condition of private higher education and on issues related to public assistance for private institutions, this report presents the findings from a survey of the aid programs now in effect and discusses the arguments prompting the programs. Its most important conclusions are: (a) the financial woes of private higher education stem from overreliance on high tuition and on uncertain philanthropy; (b) policy-makers must first decide to what extent high-quality education should be publicly supported and then determine the ways in which the public and private sectors can best be supported; (c) marginal increments of programs and services retained by private colleges need to be costed out of aid formulas; and (d) public aid to private institutions should not weaken the position of public institutions.

Private Higher Education: First Annual Report on Financial and Educational Trends (Washington: AAC, 1975).

Howard R. Bowen & W. John Minter
c/o Association of American Colleges
1818 R St., NW
Washington, DC 20009 (202-387-3760)

The first of a series of annual reports on trends in the financial and educational conditions of private higher education, this volume is based on data covering the five-year period from 1969-70 to 1973-74 and collected from a sample of 100 colleges and universities representative of all private institutions except major research universities and independent professional schools. Basic data sources were audited financial statements, HEGIS reports, salary reports, and institutional catalogs, supplemented by a questionnaire asking about enrollment, faculty and staff, program environment, current revenues and expenditures, assets and liabilities, and student housing and dining facilities. The study concludes that private higher education is neither on the way to oblivion nor prospering; the truth lies somewhere between these extremes. Although enrollments have been maintained and the financial position of institutions has held steady, competition for students has intensified, and about one-fourth of the sample institutions were in financial distress. The basic integrity of private institutions may be in jeopardy.

Private Higher Education: Second Annual Report on Financial and Educational Trends in the Private Sector of American Higher Education, 1976 (Washington: AAC, 1976).

Howard R. Bowen & W. John Minter
(see address given above)

Using the baseline data presented in the first report, this second report concentrates on financial developments in the 100 sample institutions during 1974-75 and on other developments (e.g., enrollments, faculty and staff, educational programs) during 1975-76. A nine-cell matrix was developed, one dimension of which represents the current conditions of these institutions, as indicated by finances, enrollments, and the like, and the other dimension of which represents the direction of change: whether an institution is gaining ground, losing ground, or holding steady. The phrase that best characterizes the current condition is "stability without stagnation"; that is, there seems to be considerable activity in the sample institutions, and at the same time they seem to be holding their own. Contrary to expectation, the researchers found little evidence of retrenchment in the form of program cuts and changes, increases in student-faculty ratio, or similar indexes.

Municipal Research Report of the Dormitory Authority of the State of New York (Albany, NY: First Albany Corp., November 1975).

Geoffrey Bullard
First Albany Corporation, 90 State St.
Albany, NY 12207 (518-436-9721)

The research problem was to do a credit analysis of both the public and private institutions of higher education in New York State which are supported by Dormitory Authority bonds and to assess their viability through 1990 on the basis of financial data and enrollment projections. This report examines the Dormitory Authority's nine separate programs, looks at college enrollment projections, estimates the probable impact of the state's financial problems, and summarizes the quality of the Authority's debt issues.

Costing and Planning Models for Non-Traditional Educational Systems (In progress).

National Association of College and University Business Officers
Suite 510, #1 Dupont Circle
Washington, DC 20036 (202-296-2344)

This project will construct costing and planning models for nontraditional education and disseminate information on them. Its focus is the individualized or contract learning system, whereby students work with advisors and mentors to design learning contracts in the context of a specific degree program (as opposed to the open access system, the other major form of nontraditional post-secondary education). Anticipated outcomes include a methodology available for the first time for systematic planning and financial simulation and a method for determining cost elements in a contract learning system.

A Study of the Financial Condition of Colleges and Universities: 1972-1975 (Washington: American Council on Education, 1975).

Lyle Lanier & Charles Andersen
Office of Administrative Affairs and Educational Statistics
American Council on Education
Suite 830, #1 Dupont Circle
Washington, DC 20036 (202-833-4755)

This study analyzes the impact of economic pressures on the financial condition of different types of colleges and universities over the 1972-75 period. The central conclusion is that, in recent years, the financial condition of higher education as a whole has suffered "progressive deterioration," a process that seems to have accelerated during the past three years under the combined influence of inflation and recession in the national economy. In 1973-75, five

of the nine categories of private institutions (under the Carnegie classification system) had negative growth rates, as measured by constant-dollar expenditures, whereas only two of the seven categories of public institutions had negative growth rates. In 1974-75, all classes of institutions, public and private, had negative growth rates.

The Financial Condition of Small Liberal Arts Colleges (Report completed, but not yet published).

Task Force on Private Higher Education
U.S. Office of Education
400 Maryland Ave., SW
Washington, DC 20202

Drawing upon work done by the Policy Analysis Service of the American Council on Education, and by Virginia Polytechnic Institute, as well as on the advice of the higher education community, this report deals with the financial condition of small private liberal arts colleges and was prepared at the request of the White House. At present, it is confidential, though some statement about its content will probably be released by OE in early summer.

The Status and Future of Small Liberal Arts Colleges (In progress; expected completion date, June 1976).

William Gescheider & Joseph Miller
Bureau of Postsecondary Education
U.S. Office of Education
400 Maryland Ave., SW
Washington, DC 20202

This study seeks to compile and analyze all available data bearing on the present and future condition of small private liberal arts colleges. The universe being studied is the 690 institutions included in the Carnegie classification. The questions under investigation are: To what extent are small private liberal arts colleges now facing a financial crisis, and to what extent is the future of such institutions in jeopardy?

Graduate School Adjustments to the "New Depression" in Higher Education (Washington: National Board on Graduate Education, February 1975).

David Breneman
Brookings Institution
1775 Massachusetts Ave., NW
Washington, DC 20036 (202-797-6133)

Examining trends over a six-year period in graduate student enrollments, financial support, and job placements for new doctoral graduates, this study tried

to assess the impact of declining financial support and labor market difficulties on graduate departments. One key finding was that, though private universities as a whole enrolled a slightly smaller proportion of graduate students in the fields under study in FY 1973 than in FY 1968, the best private graduate departments actually experienced enrollment increases relative to comparable public institutions.

The Consolidated Net Worth of Private Colleges: Recommendations of a Model (Wooster, OH: College of Wooster, 1973).

Hans Jenny, Vice-President for Finance and Business
College of Wooster
Wooster, OH 44691 (216-269-1234, x581)

This report suggests that most colleges and universities are both richer and poorer than their financial statements suggest. By not expressing their assets in market values, they often understate their worth; by not depreciating their fixed assets, they overstate their value. In recent studies operating deficits have been used as an indicator of financial distress and impending doom. One alternative to the conventional "funds" balancing sheets is the Consolidated Net Worth Statement, which gives a much broader analysis of financial health or distress than has been the custom until recently.

At the Crossroads: A Report on the Financial Condition of the Forty-Eight Liberal Arts Colleges Previously Studied in "The Golden Years, The Turning Point" (Ann Arbor: Center for the Study of Higher Education, Univ. of Michigan, April 1974).

G. Richard Wynn
Vice-President and Treasurer, Cedar Crest College
Allentown, PA 18104 (215-437-4471, x252)

Data for the sample of 18 liberal arts colleges confirm that 1970 marked a turning point. Between 1967 and 1970, expenditure growth outstripped income growth, producing more and larger deficits; these trends were reversed between 1971 and 1973, as expenditure growth declined dramatically. This reversal suggests that "quality distress" may replace "financial distress" in the 1970s. Surpluses are increasing, but real resource growth has virtually halted at these 48 colleges. Survival may become the dominant operating principle, with deterioration in quality a by-product.

Update Study of the Financial Condition of Independent Higher Education (Harrisburg, PA: State Department of Education, January 1974).

Frank Durkee
Harrisburg Bureau of Information Systems
State Department of Education
Harrisburg, PA 17126

The financial condition of independent higher education was examined on the basis of data provided by 62 independent colleges and universities. Among the study's findings: (a) absolute enrollment in the independent sector continued to increase between 1963 and 1972, but the independent sector's share decreased by 13.9 percentage points; (b) as a group, private institutions reported an operating deficit of $4.6 million in 1969-70 but a surplus of $5.5 million in 1971-72; (c) average expenditure per full-time student equivalent increased from $3,764 in 1969-70 to $4,057 in 1971-72; (d) the book value of endowment funds increased from $558.2 million to $774.7 million between 1969 and 1972; and (e) the liquid net worth of the institutions increased from $311.5 million to $335.5.

Private Colleges: Present Conditions and Future Prospects (Research Project #9; Washington: AAHE, 1974).

Carol Hernstadt Shulman
American Association for Higher Education
Suite 780, #1 Dupont Circle
Washington, DC 20036 (202-293-6440)

Opening with a brief historical sketch of private higher education in the United States, this report focuses on how these institutions can be assisted to survive; both critical self-analysis and changes in public policy are required. Current problems in defining goals, formulating curricula, attracting students, and remaining financially solvent are discussed. The chapter on government relations with private institutions contains sections on the pros and cons of state aid, the church-state question, and court decisions relating to institutional autonomy.

From Red to Black? The Financial Status of Private Colleges and Universities (San Francisco: Jossey-Bass, 1973).

William Jellema, Director
Study of Independent Higher Education in Indiana
Suite 911, 121 Monument Circle
Indianapolis, IN 46204

This book examines the fiscal problems of private higher education: where

the money comes from, where it goes, what happens when expenditures exceed income, what private colleges are doing about budget deficits, and what they should be doing.

A Defense for Diversity: More Colleges for More Students (Atlanta: SREB, December 1973).

Estella Green
Southern Regional Education Board, 130 Sixth St., NW
Atlanta, GA 30313 (404-875-9211)

Unless an aid program is initiated to make public and private tuitions competitive, the trend toward secularization of American higher education will continue by default. From a philosophical as well as an economic angle, this trend harms both public and private institutions. Having state systems bail out the private colleges by absorbing them is an extremely expensive solution. Although abolishing low public tuition is considered by some to be contrary to the best interests of state institutions and of many students, failure to implement such a policy may result in the continued closing down of private institutions, to the detriment of both sectors.

Private Higher Education in Maryland: A Report Concerning the Financial Condition of Private Higher Education in Maryland and the State's Relation to These Institutions (Annapolis: Maryland Council for Higher Education, June 1973).

Maryland Council for Higher Education
(now State Board for Higher Education)
933 Main St.
Annapolis, MD 21401 (301-267-5961)

Findings from this study of the financial viability of private institutions of higher education in Maryland indicate that neither the present level nor the form of state aid is adequate to meet the needs of private institutions and that both should be altered. Annual assistance to an institution should be determined by multiplying $243 by the fall semester full-time-equivalent enrollment.

A Survival Kit for Invisible Colleges: or, What to Do Until Federal Aid Arrives (Washington: AED, October 1973).

Norbert Hruby
Academy for Educational Development, Inc.
1414 22nd St., NW
Washington, DC 20037 (202-293-5960)

This case study of Aquinas College discusses both the assets and liabilities of a small college faced with the problem of survival, emphasizing the means by which Aquinas College has dealt with the factors that will determine its future.

"Private Colleges: Strategies for Change" (Planning for Higher Education, February 1975).

Joyce Smith, Assistant Dean, Rockhurst College
Harold Finch, Vice-President, Johnson County Community College

The plight of private colleges facing rising costs and declining enrollments is described, and the strategies employed by five private colleges to meet these problems are summarized.

"Private Higher Education: After the Depression, What?" (College and University Journal, 13, January 1975, pp. 12-14).

Jay Chronister, Director
Center for Higher Education
School of Education, University of Virginia
Charlottesville, VA 22903 (804-924-3334)

In the years ahead, private institutions must make a major effort to define their unique qualities and contributions and to articulate them within a broader plan for meeting society's needs for higher education.

"The Two Worlds of Higher Education (Science, 22 June 1973, p. 1241).

Richard Lyman, President
Stanford University
Palo Alto, CA 94305

The survival of private institutions depends on narrowing the financial gap between enrollment costs at public and at private institutions.

Recent Developments in Postsecondary Education, 1970-75 (Washington: Joseph Froomkin, Inc., January 1976).

Joseph Froomkin, Inc.
1015 18th St., NW
Washington, DC 20036 (202-833-2220)

This survey of the developments in postsecondary education from fall 1970 to fall 1975 highlights the following major points: (a) the slowdown in the rate of economic growth has caused budget stringencies at many institutions, the short-fall being most serious in the private sector, (b) enrollments have dropped at many institutions in the last five years; (c) no major

institutions have closed down, however; (d) salary increases for faculty have lagged behind those for other occupational groups; (e) the effects of the projected Ph.D. glut were moderated by the doubling of the proportion of doctorates at the assistant professor rank; (f) students are increasingly enrolled in nondegree programs and in major fields most likely to lead directly to jobs; (g) the proportion of high school graduates enrolling directly in college declined by some 20 percentage points from the mid-1960s; and (h) because more college graduates are taking lower-status clerical and manual jobs, starting wages for college graduates have declined.

Financial Conditions of Independent Institutions (In progress; expected completion date, September 1976).

Bruce D. Hamlett, Higher Education Specialist
California Postsecondary Education Committee
1020 Twelfth St.
Sacramento, CA 95814

The final report from this comprehensive study of independent institutions in California will include: (a) a model or method for evaluating the financial condition of independent institutions; (b) a report on the financial condition of independent institutions in California; (c) a set of policy recommendations; and (d) a revised information-gathering system to complement HEGIS data.

State and Local Financial Support of Higher Education, 1973-74 (Findings available from the author).

Marilyn McCoy and others
National Center for Higher Education Management Systems
P.O. Drawer P
Boulder, CO 80302 (303-492-7264)

This study examines the public and the private sectors, state by state, measuring the level of state support of private higher education and analyzing the diverse factors likely to influence state support levels. These factors include the major program functions supported by the state, the types of institutions receiving aid, the level and purpose of institutional expenditure, student enrollment and migration rates, state financial capacity and effort, and state spending on all social programs.

The Bottom Line: A Report on Financial and Educational Trends in New York State's System of Higher Education (Albany, NY: CICU, 1975).

Howard Maxwell
Commission on Independent Colleges and Universities
37 Elk St.
Albany, NY 12224 (518-436-4781)

This brief report on comparative financial conditions and trends in the public and in the private sector of higher education in New York State urges an investment in the private sector to save tax dollars and to insure the viability of the private sector.

"State Aid for Private Higher Education: Policy and Program Consideration" (To be published as a chapter in the following book by Howard).

Jay Chronister
School of Education, University of Virginia
Charlottesville, VA 22903 (804-924-3334)

This study explores the policy basis and intent of state aid to private higher education by looking at the enabling legislation. Selected characteristics of aid programs are analyzed state by state.

State Aid to Private Higher Education (Charlottesville, VA: Michie Publishing Co., forthcoming).

A. E. Dick Howard
School of Education, University of Virginia
Charlottesville, VA 22903 (804-924-3629)

This study explores the constitutional implications of state aid to private higher education, highlighting the constitutional problems of which those who draft or administer a program of state to private higher education should be aware.

The Impact of State Institutional Grants on The Autonomy of Independent Colleges and Universities (In progress; expected completion date, August 1976).

Ken Fulmer
Escondido Village 94E
Stanford University
Stanford, CA 94305 (415-328-8628)

A four-part study that seeks to measure the impact of state support on the autonomy of independent colleges and universities. Part I is a survey of 300 private institutions in ten states to ascertain the value of state control and influence in eight distinct policy areas: goal definition, curriculum, admissions, building construction, teaching loads, composition of the board of trustees, student disciplinary policies, and the hiring and firing of staff. Part II involves phone interviews with a 10 percent sample of the institutional population. Part III is a review of government documents in each of the ten states. The final part presents case studies of those two states which seem to have the lowest and highest degree of control over the private sector.

Impact of State Measures to Aid Private Institutions (In progress; expected completion date, February 1977).

Peggy Heim
Carnegie Council on Policy Studies in Higher Education
2150 Shattuck Avenue
Berkeley, CA 94704 (415-849-4474)

This study focuses on the two main types of state aid to private higher education--student aid and general institutional aid--evaluating the impact of each on the private institutions, on access and choice of the students, and on public institutions. Two basic policy questions are addressed: What are the differential effects of alternative aid programs? How do such aid programs affect institutional accountability and autonomy?

"The Legal Status of State Aid for Non-Public Colleges and Universities in the United States" (Unpublished dissertation, completed in 1975).

James Olliver
North Carolina Association of Independent Colleges
Suite 1112, BB & T Building
333 Fayetteville St.
Raleigh, NC 27601

This report deals with the legal status of state aid to private higher education. Chief data sources were state constitutions, records of litigation in state and federal courts, reports, descriptions of operational programs, and opinions of state attorneys-general. Constitutional amendment has been the chief method used by the states in eliminating legal barriers to state aid to private institutions.

State Financial Measures Involving the Private Sector of Higher Education (Washington: NCICU, 1974).

W. H. McFarlane, J. L. Chronister, & A. E. Dick Howard
National Council of Independent Colleges and Universities
1818 R St., NW
Washington, DC 20009 (202-387-3760)

Taking a national perspective, this study aimed at determining the scope, nature, and impact of state programs to aid private higher education and at summarizing the constitutional issues of state aid as well as describing the issues state by state. Since the mid-1960s, state aid programs have expanded, gradually but steadily, in number, variety, and dollar amounts. The 34 states which provide aid to private higher education have successfully adapted the programs to constitutional constraints, but some states have made almost no effort to initiate such programs. The report concludes that the concept of

state aid is firmly established as a public policy to promote pluralism in higher education and to increase freedom of choice for state residents who want to attend private colleges.

An Analysis of Accountability Measures Which Follow State Financial Assistance to the Private Sector of Higher Education in the United States (In progress).

E. Davis Martin
School of Allied Health Professions
Virginia Commonwealth University
Richmond, VA 23220 (804-770-7106)

This study seeks to identify what types of accountability requirements states impose upon private institutions as a condition of providing aid either to the institutions themselves or to their students; to determine how decision-makers use accountability measures; and to assess what impact these requirements have, in the view of the presidents of private institutions. The resulting report should provide policy-makers, institutional administrators, and national associations with a detailed description and analysis of accountability measures, their implementation and administration, and should be particularly useful in state planning activities.

"State Aid for Virginia's Private Colleges?" (Journal of Law and Education, October 1973, pp. 593-612).

W. H. McFarlane, Jay Chronister, & A. E. Dick Howard
c/o McFarlane, Professor of Philosophy
George Mason University
Fairfax, VA 22030 (703-323-2253)

This case history of legal and political difficulties in developing and implementing a state aid program concludes by noting that a ten-year effort to produce workable state aid legislation in Virginia had foundered on narrow technical issues and suggests that the development of state aid legislation must be approached with a clearer understanding of the legal and political issues and constraints involved.

The States and Private Higher Education (Denver, CO: ECS, 1975; update planned)

Richard Millard & Nancy Berve
Education Commission of the States
300 Lincoln Tower, 1860 Lincoln St.
Denver, CO 80203 (303-893-5200)

This tabular survey of current or planned state programs supporting private higher education, arranged by state, covers contracts; direct institutional

aid; the disadvantaged and minorities; building and facilities assistance/ authorities; medical, dental, and nursing programs; student aid; and other programs.

Independent Higher Education in California: Development of State Policy (Sacramento, CA: Joint Committee on Postsecondary Education, California Legislature, November 1974).

Staff of the Joint Committee on Postsecondary Education
California Legislature
Room 34, 1116 9th St.
Sacramento, CA 95814 (916-445-4820)

This report identifies policy issues relating to private higher education that the California legislature should address. Following a review of recent legislative activity, state policy foundation, and future process, four recommendations are made. First, the state should continue to provide assistance to independent higher education. Second, such assistance should be given in the form of financial aid to students who choose to attend an independent institution. Third, the legislature should direct the Post-secondary Education Commission to study the areas discussed in the report and recommend to the legislature and the Governor desirable action. Fourth, no increase in state aid to independent higher education should be approved by the Governor or the legislature prior to a comprehensive report by the Commission.

Development of Budgetary Criteria for Allocation of State Support to Higher Education Institutions (In progress; expected completion date, November 1976).

Lyman Glenny
Center for Research and Development in Higher Education
University of California
2150 Shattuck Ave.
Berkeley, CA 94704 (415-642-5040)

This one-year project, supported by the Fund designed to improve state budgeting practices, will culminate with a report listing and evaluating the criteria which different states use in allocating scarce resources to the four-year institutions. The final report will consist of: (a) narrative description of the budget history in several states which have already experienced cutbacks; (b) a structured inventory of budget criteria used in the different states; and (c) a critical overview of these criteria. The final reports might also include other criteria which appear desirable but are not presently being used.

Study of Independent Higher Education in Indiana (Indianapolis: ICUI, January 1975).

William Jellema
c/o Robert Martin, President
Independent Colleges and Universities of Indiana, Inc.
306 Guaranty Building
Indianapolis, IN 46204 (317-635-2655)

This study, one of the first statewide studies of independent higher education, resulted in six reports covering the following topics: institutional goals, cost of instruction, student characteristics and finances, financial health of the institution, interinstitutional cooperation, and the economic impact of the colleges on the communities in which they are located. It was hoped that the study would give both the private sector as a whole and individual institutions within that sector greater self-understanding so that they might better present their case to the public and to their various constituencies. A further aim was to encourage institutions to establish and develop the expertise needed for systematically collecting data to solve their own problems.

State Policy and Independent Higher Education (Toledo, OH: Center for the Study of Higher Education, University of Toledo, 1975).

Richard Jonsen
School of Education, Syracuse University
Huntington Hall, 150 Marshall St.
Syracuse, NY 13210

This monograph, originally prepared for the State of Montana's Commission on Postsecondary Education, was intended to help policy-makers decide whether private institutions of higher education should receive state aid, and, if so, what the logical policy alternatives are. In making such decisions, the following factors should be taken into account: (a) Is the survival of these institutions a matter of state concern? (b) Are the functions of these institutions a matter of state concern? (c) Is the quality of these institutions a matter of state concern? (d) Are the purposes of these institutions a matter of state concern? The report concludes with a set of policy alternatives, based on various assumptions.

Impact of State Assistance on Oregon's Private and Independent Institutions of Higher Education (Salem, OR: ERC, June 1973).

Larry Large
Educational Coordinating Council
942 Lancaster Drive, NE
Salem, OR 97301 (503-378-3569)

This examination of Oregon's program of assistance to independent colleges focuses on the program's impact on the financial health of the aided institutions, and on the opinions of institutional administrators about how the funds are used, and what, if any, special problems or advantages the program presents to their institutions. Generally, the Oregon program had a positive impact on the financial health of the institutions and was regarded favorably by the administrators.

What Policy, If Any, Should Massachusetts Follow Concerning State Aid to Private Institutions of Higher Education? (Washington: AED, February 1973).

Frederick Terman
Academy for Educational Development, Inc.
1414 22nd St., NW
Washington, DC 20037 (202-293-5960)

This study of the needs of private higher education in Massachusetts recommends that the state establish a set of policies with respect to private institutions.

"Paying the Bill for College: The 'Private' Sector and the Public Interest" (Atlantic, May 1975, pp. 33-40).

John Silber, President
Boston University
Boston, MA 02215

This article argues that state legislatures are wasting tax dollars to provide education that is already available in "independent" colleges and universities and suggests ways to keep independent schools solvent and save tax money at the same time.

A Study of the Developing Relationship Between Higher Education Coordinating Agencies and Private Colleges and Universities (In progress; expected completion date, June 1977).

Richard Wilson & James Miller
2007 School of Education
University of Michigan
Ann Arbor, MI 48104 (313-764-9472)

The primary purpose of this research effort is to describe and analyze the existing relation between state boards of higher education and the private colleges and universities in each state so as to help states identify the most effective arrangement for including private institutions. The information generated by this investigation should be particularly useful in those states where increased cooperation and coordination of institutions

necessitates a review of procedures for including the private sector in state board activities.

Towards a More Effective Federal/State Partnership Related to Private Higher Education (Denver, CO: ECS, October 1975).

Education Commission of the States
300 Lincoln Tower, 1869 Lincoln St.
Denver, CO 80203 (303-893-5200)

The first section of this report identifies the principles that should underlie federal policies designed to assure student access and choice and to maintain opportunities within the private sector. The second section gives information on private institutions and enrollments in each state and on state programs to assist students and institutions in the private sector. The final section recommends ways to modify student aid programs and to encourage more effective planning. Also included is a state-by-state summary of state legislation bearing on private higher education.

Research Planning Evaluation Program for the Independent Colleges of Kentucky (In progress; expected completion date, September 1976).

Dr. Gerald Lunney, Director of Research
Council of Independent Kentucky Colleges and Universities
Box 668
Danville, KY 40422 (606-236-3533)

The purpose of the project is to develop a data base and management information system for the 20 member institutions of the Council and to coordinate planning activities of those institutions with the work of the Kentucky Council on Public Higher Education as that agency works to develop a comprehensive plan for higher education in Kentucky. Specific objectives include: (a) to generate, analyze, and interpret the statistical and other data needed to define the role of the Council and its members; (b) provide an empirical framework for the development of new programs and the revision of old programs at the member institutions; (c) to assist member institutions in developing internal systems of data collection; (d) to develop a model for measuring the outcomes of higher education within and among public and private institutions in Kentucky.

Indiana College-Level Manpower Study (Indianapolis: IHEC, October 1975).

Richard Gibb & Robert Greenberg
Indiana Higher Education Commission
143 E. Market
Indianapolis, IN 46204 (317-633-6474)

The purpose of this study was to assess the supply of and demand for college-level manpower in Indiana so as to identify those major fields and occupations where gross imbalances exist. In preparing the first report, samples of students and employers were surveyed; in addition, a review of the literature, at both the national and state levels, was completed and published as the basis for three subsequent reports; this review suggested that manpower analyses often run into difficulties in trying to relate associate- and baccalaureate-level college work to specific occupations. Thus, the identification of such relations became a central concern of the study. Final reports were issued on the educational plans and career choices of high school seniors in college preparatory programs, associate degree-recipients, and baccalaureate-recipients. The findings should be of value not only to educational planners at institutional and state levels but also to students and those who work with them on an individual basis.

Alternative Financing Arrangements for Postsecondary Education in New Jersey (In progress; expected date of completion, December 1976).

Andrew Lupton & John Augenblick
New Jersey Commission on Financing Postsecondary Education
Suite 250, East 20 Nassau St.
Princeton, NJ 08546 (609-921-3120)

The Commission's major objectives are to examine financing arrangements and to ensure that all citizens of New Jersey will have access to postsecondary education. Three specific projects relating to private higher education are described below.

Equity and the Present Distribution of Funds in Support of Postsecondary Education in New Jersey (Princeton, NJ: New Jersey Commission of Financing Postsecondary Education, 1976).

Andrew Lupton & John Augenblick
(see above)

This study seeks to test the equity of the system of support for postsecondary education in New Jersey. Are inequities in distribution attributable to the tax structure or to the present participation rates of different income groups? Preliminary evidence suggests that the present system redistributes aid from middle-income groups. Although both federal and state student aid programs alleviate this situation somewhat, the amounts are not sufficient to overcome the inequities of institutional subsidies.

"Analysis of Indicators of Financial Health for Collegiate Institutions" (Change, in press).

Andrew Lupton & John Augenblick
(see above)

Whether a state supports collegiate institutions directly or indirectly, through aid to students, the health of those institutions is important to the state. This project attempts to establish a methodology for studying institutional health, using ratios of financial data and empirically determining the contribution of those ratios to the health of an institution.

Determination of States Comparable to New Jersey (In progress; expected completion date, October 1976).

Andrew Lupton & John Augenblick
(see above)

This study is designed to identify states which empirical data show to be similar to New Jersey in terms of environmental factors related to postsecondary education. In the past, the haphazardness of this identification process has led policy-makers to make invalid comparisons.

Pennsylvania Postsecondary Degree Programs: Need, Availability, Supply, Oversupply (In progress; expected completion date, June 1977).

James Ream, Arlene Kuhns, & S. V. Martorana
Pennsylvania Association of Colleges and Universities
800 N. Third St.
Harrisburg, PA 17102 (717-232-8639)

This study seeks to (a) establish criteria by which existing programs in Pennsylvania can be identified as redundant to others, (b) reexamine the justifications of programs whose existence is under challenge; and (c) identify gaps and inadequacies in Pennsylvania's present programs and services. A larger purpose is to provide a more sound basis for planning and policy decisions pertaining to postsecondary education.

Enrollment Patterns and Policy Analysis in Indiana and Elsewhere (In progress; expected completion date, June 1977)

Stephen J. Carroll
Rand Corporation, 1700 Main St.
Santa Monica, CA 90406 (213-393-0411)

Rational planning to meet the future demands on higher education requires that decision-makers be able to foresee what those demands will be. They must also be able to assess the likely response of students to a given policy initiative.

This research addresses both those needs by analyzing enrollment rates and patterns in Indiana's institutions of higher education. The study will provide education decision-makers in Indiana and elsewhere with a means of obtaining the information they need to deal with policy issues. Its results will be comparable with those of studies in other states.

Private Higher Education in North Carolina: Report and Recommendations (Chapel Hill, NC: Board of Governors, University of North Carolina, 1975).

John Saunders
Vice-President for Planning
University of North Carolina
Chapel Hill, NC 27514 (919-933-1365)

This report, requested by the state legislature, discusses the contributions of the private sector, affirms the benefits of a dual system of higher education, and acknowledges that the private sector needs financial help. It proposes a Tuition Assistance Grant program, whereby direct state grants of up to $1,300 would be provided to North Carolina residents enrolled as full-time undergraduates in college degree or college-parallel programs in accredited private institutions in the state. The amount of the awards would vary according to the student's economic circumstances and type of institution attended.

Evaluation and Improvement of Statewide Planning in Postsecondary Education (In progress; expected completion date, July 1977).

Richard Millard, John K. Folger, Aims C. McGuiness
Education Commission of the States
300 Lincoln Tower, 1860 Lincoln St.
Denver, CO 80203 (303-893-5200)

This project seeks to develop a set of criteria and procedures for evaluating the postsecondary planning process at the state level. The planning process is broadly defined to include studies that support planning; the process of developing, maintaining, and modifying plans; the relation of long-range planning to short-range planning and budgeting; the implementation of plans; and the evaluation of the effectiveness of the planning process and the structure for planning. Special emphasis is given to strengthening the relation between planning and budgeting and to improving the fiscal planning needed to set priorities as fiscal constraints tighten. The staff is interested in helping states that have difficulty relating long-range plans to budgets, developing equitable resource allocation formulas, and giving equitable treatment to postsecondary or higher education within the total state budgetary process.

The "Private" Contribution to Public Higher Education (Boston: Boston University, 1975).

John Silber, President
Boston University

Originally given as testimony before the Education Committee of the General Court of Massachusetts on 24 February 1975, this statement argues that private higher education constitutes a valuable public asset and, as such, deserves public subsidy. An apportionment should be made to each qualified high school graduate that can be taken to the college of choice within the Commonwealth. The goal of such a strategy would be to promote both access and choice.

Enrollments in Oregon's Public and Independent Colleges and Universities: Actual and Projected Enrollments, 1966 through 1984 (Salem, OR: ECC, April 1974).

John G. Westine
Educational Coordinating Council
942 Lancaster Drive, NE
Salem, OR 97301 (503-378-3569)

In Oregon's 39 institutions of higher education, enrollments are expected to increase by 24,380 full-time-equivalents, or 24 percent, by 1984. Most of this increase will be in community colleges. Public and private four-year colleges can expect about a 2 percent and a 7 percent increase, respectively.

"State Programs to Provide Financial Support for and Coordination of Non-public Higher Education" (Presented at the Society for College and University Planning Conference on "Public Policy and the Relationship of Private and Public Higher Education," 6 February 1974).

Richard Millard, Director
Higher Education Services
Education Commission of the States
Suite 300, 1860 Lincoln St.
Denver, CO 80203

The greatest amounts of state aid to institutions of private higher education come in the form of student aid and direct institutional aid. A growing third form of state support is contract relations. A fourth area of constitutionally possible state support is the development of Facilities Bonding Authorities that would enable institutions to borrow funds for construction on the basis of tax-free bonds.

NATIONAL POLICY CONSIDERATIONS

"Studies of Impacts of Federal Health-Related Research Expenditures on Institutions of Higher Education" (Supplement #2 to Report of the President's Biomedical Research Panel. Washington: U.S. Government Printing Office, 1976)

Lyle Lanier, American Council on Education
Thomas Morgan, Association of American Medical Colleges
Albert Williams, Rand Corporation
c/o Lanier, ACE
Suite 827, #1 Dupont Circle
Washington, DC 20036

This study seeks to assess how federal funding policies for health-related research affect the organization, educational activities, research productivity, and financial condition of higher education institutions. An understanding of these effects should prove useful to policy-makers in framing future federal policies for biomedical-behavioral research.

Estimation of the Effects of Title III of the Higher Education Act (In progress; expected completion date, 30 August 1976).

George Weathersby
450 Gutman Library, Harvard University
Cambridge, MA 02138 (617-495-3447)

This study focuses chiefly on institutions participating in Title III (Developing Institutions) of the Higher Education Act, seeking answers to two basic questions: Have participating institutions changed more than other institutions? Can any statistically significant changes be attributed to the effects of Title III intervention? The period covered is from 1968 to 1973.

The Demand for Facilities in the Post-secondary Sector (Washington: Joseph Froomkin, Inc., August 1974).

Joseph Froomkin and Others
Joseph Froomkin, Inc.
1015 18th St., NW
Washington, DC 20036 (202-833-2220)

This recently completed study sought to develop methods for estimating space requirements through 1990. The conclusion is that higher education as a whole faces no space needs but some institutions may suffer a shortage of space.

"Policy Options for Federal Consideration" (Draft completed and submitted to U.S. Office of Education, April 1976).

John F. Hughes & Patricia Smith
Policy Analysis Service, American Council on Education
Room 829, #1 Dupont Circle
Washington, DC 20036 (202-833-4794)

Part of the ACE study of private higher education (see also pp. 4, 6, 21, and 22), this concluding report suggests various steps that the federal government might take with respect to private higher education. These alternative options would serve four general purposes: (a) to improve federal-state coordination of policies affecting private institutions; (b) to change student aid programs so that reasonable choice as well as access is assured; (c) to recognize a federal role in preserving private institutions, (d) to provide incentives for private giving to higher education institutions.

The Effect of Public on Private Higher Education (In progress, expected completion date, September 1976).

Michael McPherson
Department of Economics, Williams College
Williamstown, MA 01267 (413-597-2409)

The assumption behind this study is that the current system of financing public higher education tends to channel students away from private colleges and into public colleges rather than to increase total college enrollments. The study attempts to ascertain just how changes in public enrollments have affected private institutions.

Federal-State Responsibility for Facilitating Student Access (Policy Analysis Service Reports, Vol. 1, No. 2, March 1975).

Policy Analysis Service, American Council on Education
Suite 829, #1 Dupont Circle
Washington, DC 20036 (202-833-4794)

This is a report of a seminar held on 9 July 1974 that dealt with the proper division of responsibility between federal and state governments for providing student aid. The five principal speakers each represented a different point of view: (1) Philip Austin, of DHEW, spoke on the federal role; (2) Joseph D. Boyd, of the Illinois State Scholarship Commission, talked about the great potential of the State Student Incentive Grants program; (3) Henry Paley, of the City University of New York, spoke on the CUNY experience in approaching the problem of access; (4) Hans Jenny, of the College of Wooster, represented the private sector; and (5) Robert Carbone,

of the University of Maryland, discussed definitions of the term access. The consensus of the speakers was that the greatest challenge was to find ways of making state and federal student aid programs complement each other rather than overlapping or replacing each other.

Public Policy and Higher Education (In progress; expected completion date, spring 1977).

Chester Finn & David Breneman
Brookings Institution
1775 Massachusetts Ave., NW
Washington, DC 20036 (202-686-6000)

Brookings Institution has under way four projects that relate to higher education: (a) a joint study by Finn and Breneman on Public Policy and Higher Education that will take the form of a conference with commissioned papers; (b) a study by Finn of federal policies toward private higher education; (c) a study by Breneman that looks at higher education using the model of a business or commercial firm rather than the human capital model; and (d) an evaluation by Breneman of a Ford Foundation program to speed up doctoral student production.

NOTE: The following eight papers are being prepared for the Brookings Conference on Public Policy and Private Higher Education to be held in the fall of 1976.

Financial Trends in the Private Sector.

Susan Nelson, Research Associate
Brookings Institution
1775 Massachusetts Ave., NW
Washington, DC 20036 (202-797-6000)

This paper describes current patterns and trends in financial support to the private sector. Financial data is organized by source (state aid, federal aid, tuition, private philanthropy, endowment) and by an institutional classification scheme such as that developed by the Carnegie Commission or the American Council on Education. Thus, the quantitative significance of each revenue source for the principal types of institution will emerge. The paper also draws on past and current studies to summarize what is known about the financial well-being of private colleges and universities.

The Demand for Private Higher Education.

Michael McPherson
Assistant Professor of Economics, Williams College
Williamstown, MA 01267 (413-547-2271)

This paper examines quantitatively the factors that influence demand for private higher education, emphasizing the impact of tuition price differentials. Its principal purpose is to shed light on the factors, including price, that determine the level and composition of enrollment demand. The evidence on price and income elasticities of demand for different types of institutions is reviewed, together with such factors as changing family size and "sibling overlap." Recent evidence of falling rates of return on higher education and declining participation rates by white males are examined to see if they can be explained by sensitivity to price. In particular, using the human capital investment model, the sensitivity of rates of return to alternative tuition levels is assessed.

The Impact of Direct Federal Programs on Higher Education.

Robert Hartman, Senior Fellow
Brookings Institution
1775 Massachusetts Ave., NW
Washington, DC 20036 (202-797-6000)

The first part of this paper evaluates existing student aid programs in terms of their "neutral" effect on the public-private enrollment mix. The second part focuses on federal policy options, emphasizing incentives for state action that the State Student Incentive Grant program can create.

The Influence of Federal and State Tax Policies on Private Higher Education.

Emil Sunley, Senior Fellow
Brookings Institution
1775 Massachusetts Ave., NW
Washington, DC 20036 (202-797-6000)

Much of the current support for private higher education accrues to the institutions indirectly as a result of favorable tax treatments. This paper analyzes the impact of current tax policy on the allocation of resources to private higher education, comparing the efficiency and equity of tax expenditures to more direct forms of federal and state support. In addition, policy options that involve the tax system, such as income tax credits and charitable deduction alternatives, are evaluated from a public finance perspective.

State Policy Options for Private Higher Education.

Colin Blaydon, Associate Professor
Institute of Policy Sciences, Duke University
9875 Duke Station
Durham, NC 27706 (919-684-6612)

This analytical paper focuses on the direct expenditure policy options available to the states. It is not concerned with actual behavior but rather with the equity and efficiency of such options as higher public tuitions accompanied by increased need-based aid, tuition offset grants (both need-based and independent of need), and various forms of institutional aid such as the "Bundy" aid in New York. The essay also explores such related issues as interstate portability of grants and the declining age of majority.

State Aid to Private Higher Education: State Case Studies.

Robert Berdahl, Senior Fellow
Carnegie Council on Policy Studies
2150 Shattuck Ave.
Berkeley, CA 94704 (415-849-4474)

This examination of several states that give some type of aid to private institutions focuses on the political dynamics that have shaped whatever state policies are currently in effect. The role of the state organization of independent colleges and universities is assessed, as is the stance taken by leaders in the public sector and by elected state officials.

Private Higher Education: The View from the Campus

David Brown, Executive Vice-President
Miami University, &
Thomas Wenzlau, President
Ohio Wesleyan University

The purpose of this essay is to balance the state and federal view with a description of how current policies affect the campus in terms of competitive position, regulation, academic freedom, and governance. The strengths and weaknesses of various policy options, as perceived by private institutions, are explored.

The Politics of Higher Education.

Larry Gladieux, Director
Washington Office, College Entrance Examination Board, &
Tom Wolanin, Staff Director
Subcommittee on Labor-Management Relations
U.S. House of Representatives

This paper assesses how public policies with respect to private higher education are pursued, examining the divisions within the Washington-based "higher education lobby" along public-private lines as well as attempts to bridge these divisions. The consequences of the lack of any single organization that speaks for all of higher education are probed as is the call to purge the Association of American Colleges so that it includes only private institutions. Genuine differences in the "self-interest" of various parts of the private higher education universe must be weighed, along with the issues that unite some private institutions with some public ones. The validity of the old distinction between proprietary and nonprofit forms of "private" higher education are evaluated.

Federal-State-Institutional Relations in Postsecondary Education (Princeton, N.J.: Educational Testing Service, February 1975).

John C. Honey & Terry W. Hartle
c/o Honey, 109 Maxwell Hall, Syracuse University
Syracuse, NY 13210 (315-423-4761)

Central to this report is the recognition that the federal role in higher education lacks clarity and coherence, causing uncertainty and confusion on the part of states and institutions. The federal government should take the initiative in establishing a partnership whereby each partner--the federal government, the states, and higher education institutions--would take into account the obligations and responsibilities of the other partners, their customary modes of operation, their administrative capabilities, and their financial capacities. The varying administrative and fiscal capabilities of the states and institutions is an area that will require special federal attention.

Federal-State-Institutional Relations in Postsecondary Education, Part 2 (In progress; expected completion date, 31 December 1976).

John C. Honey
109 Maxwell Hall, Syracuse University
Syracuse, NY 13210 (315-423-4761)

This study will further investigate federal-state-institutional relations. In order to arrive at suggestions for furthering the partnership proposed in the previous paper, three activities will be undertaken:
(a) The various titles of the Higher Education Act of 1965 (as amended) will be examined for possible approaches; (b) current and proposed programs of institutional aid (including aid to private institutions) will be reviewed; and (c) administrative structures and procedures will be studied in order to suggest modifications.

The Federal Government and the Small Private College, 21st National Institute of CASC (13-17 June 1976, Georgetown University, Washington, D.C.).

Gary Quehl, President
Council for the Advancement of Small Colleges
Suite 750, #1 Dupont Circle
Washington, DC 20036 (202-659-3795)

This summer institute examined federal aid and federal regulations as they apply to the small private college. Study groups were held on five topics (suggested by a survey of member institutions): (a) federal student aid; (b) federal institutional aid; (c) federal categorical programs; (d) federal regulations; and (e) the 1976 Higher Education Amendments. Papers were commissioned to provide a background for the discussion. Each Institute participant took part in one of these study groups depending on interest. Other activities included keynote speakers, meetings with congressional and executive branch leaders, and an information exchange. A Federal Relations Information Network was established to promote the flow of information on important federal regulations issues as they occur over the next year.

Survey of the Problems of Higher Education with Emphasis on Private Institutions (Exploration and planning stage; research to begin shortly).

Ronald Lauve & Aurelio Simon
General Accounting Office
Room 801, Reporters Building, HEW
330 Independence Ave., SW
Washington, DC 20201 (202-245-9623)

This study, still in the planning stage, will look at federal policy toward higher education with particular attention to the issue of student aid vs. aid to institutions. State planning and coordination will also be examined.

"Private Colleges and the Voucher Plan" (College and University Business, Vol. 52, May 1972, pp. 8-14).

John Wish, Romney Cooke, & Gregory Maltby

After examining the widening tuition gap between public and private institutions in Oregon, this article suggests two public policy alternatives: (a) tax-generated subsidies to all institutions of postsecondary education; and (b) tax-generated subsidies (in the form of vouchers) to citizens who desire and qualify for postsecondary schooling. It is highly desirable to conduct an experiment involving vouchers at the postsecondary level.

National Policy for Private Higher Education (Washington: AAC, 1974).

Peggy Heim, Study Director
Task Force of the National Council of Independent Colleges and Universities
Association of American Colleges
1818 R St., NW
Washington, DC 20009

This report argues that strengthening the entire system of higher education is in the public interest and that many of the financial problems of private higher education (the tuition gap, unfavorable student aid provisions, the creation of new public institutions, and tax reform provisions that discourage private giving) could be solved by modest changes in public policy. To narrow the tuition gap, states should provide adequately funded grants: e.g., tuition offset grants, which are discussed in one chapter. Other chapters discuss possible modifications in federal student aid programs to correct for geographic inequities in public aid to the private sector; statewide planning; tax laws and tax administration; and fund-raising by public institutions.

"The Constitutional Implications of Federal Aid to Higher Education" (Journal of Law and Education, October 1972, pp. 513-40).

William Ford
U.S. Congressman (Michigan, 15th District)

In discussing federal aid to private institutions, Ford gives special attention to two recent court cases, Lemon v. Kurtzman and Tilton v. Richardson, involving church-related institutions. It may be necessary to provide emergency federal assistance to failing private colleges and universities.

Project to Develop a National Data Base (In progress; expected completion date, June 1976).

James Farmer & Donald Leonard
National Education Data Library
Suite 300, 1030 15th St., NW
Washington, DC 20005 (202-785-0917)

This project attempts to update the data base developed by the National Commission on the Financing of Postsecondary Education and to make it more accessible to users all over the country. The two chief objectives are: (a) to provide national comparative data on postsecondary education to policy-makers and researchers; (b) to monitor continuously the collection of such data and to make their availability known to prospective users. To this latter end a "catalog" of available machine-readable data bases and their sources is being reproduced, and the capability for giving to users across the nation on-line terminal

access to the culminative data base is being developed. A number of data files on magnetic tape (including USOE Student Financial Aid Fiscal Operations Reports and Financial Aid Applications, the HEGIS of NCES, and the 1972 cost data of NCHEMS) have been recast in a new format and documented in standard form.

Government Regulation of Higher Education: The President's Report, 1974-75 (Cambridge, MA: President's Office, Harvard University, 1975).

Derek Bok, President
Harvard University
Massachusetts Hall
Cambridge, MA 02138

After analyzing the consequences of increased government intervention in higher education, Bok suggests that the federal government should: (a) pay closer heed to administrative problems that may result from regulations; (b) exercise greater caution in regulating universities; (c) consult carefully with universities before and after issuing new regulations. Bok also urges higher education to take a more direct role by supplying the information needed if the government is to understand the effects of its proposals, and by suggesting alternative measures that offer better solutions to problems of acknowledged national concern.

The Costs to Colleges and Universities of Implementing Federally Mandated Social Programs (PAS Special Report. Washington: American Council on Education, June 1975).

Carol Van Alstyne & Sharon Coldren
Policy Analysis Service, American Council on Education
Suite 829, #1 Dupont Circle
Washington, DC 20036 (202-833-4794)

Using a Task Force of six higher education institutions, this study sought to ascertain the often unrecognized costs that colleges and universities must bear in implementing social programs mandated by the federal government (e.g., social security tax increases, occupational safety and health standards). Among the findings: the costs of these programs to the Task Force institutions represented between 1 and 4 percent of their operating budgets; though small compared with total operating budgets, they are large compared with income from gifts and endowment; over the last decade, the costs of these programs have increased tenfold to twentyfold, much more than the costs of instruction. The study urges that the federal government be more aware of such costs and work with institutions to reduce them while at the same time not abandoning the socially desirable ends toward which these programs are aimed.

PROPRIETARY, OCCUPATIONAL, AND VOCATIONAL EDUCATION

"Bibliography of Research on Proprietary Education" (Washington: AICU, 2 February 1976, Xerox).

Richard Fulton
Association of Independent Colleges and Universities
1730 M St., NW
Washington, DC 20036 (202-659-2460)

This bibliography covers research studies, theses, encyclopedias, books, and articles that deal with proprietary education and contains 55 citations.

"The Proprietary School: Assessing its Impact on the Collegiate Sector" (Recently completed; findings available from author).

J. Michael Erwin
School of Education, University of Michigan
Ann Arbor, MI 48104 (313-764-8423)

Proprietary schools do not compete directly with collegiate institutions for students who seek short-term, entry-level training. Most colleges and universities do not now offer programs that will be adversely affected by enrollment growth at proprietary schools. The study suggests that policy-makers should question the desirability of having colleges and universities offer programs traditionally offered by proprietary schools since such duplication will harm more colleges than it benefits.

"Occupational Training for Mature Women: A Survey of the Enrollment of Women over Age 35 in Proprietary Institutions in Cuyahoga County (Cleveland) Ohio" (Completed spring 1974; findings available from author).

Janice Patterson
Cleveland State University
807C University Tower
Cleveland, OH 44115 (216-687-3850)

This investigation of the participation of mature women in proprietary school programs in Cuyahoga County suggests that proprietary schools could do more to recruit and admit women, especially in fields traditionally dominated by men. Financial considerations may be the key factor, since both the cost of enrolling and the cost of commuting to school seems to contribute to the low participation rates of mature women.

Metropolitan Vocational Proprietary Schools: Assessing Their Role in the U.S. Educational System (Lexington, MA: Lexington Books, D. C. Heath, March 1976).

William D. Hyde, Executive Secretary
National Academy of Education, Ventura Hall
Stanford University
Stanford, CA 94305 (415-327-3075)

The overall objective of this study was to explore those facets of the proprietary school's operation that may be relevant in assessing and planning for the sector's contribution to the educational system. Proprietary schools were analyzed as private, profit-motivated firms, and their responses to such factors as labor market conditions, changing technology, and the growth of a community college were measured.

National Survey of Noncollegiate Postsecondary Career Schools (In progress).

Robert Calvert, Chief
Adult and Vocational Education Surveys Branch
National Center for Education Statistics (NCES)
400 Maryland Ave., SW
Washington, DC 20202 (202-245-8340)

NCES is currently engaged in three surveys of interest regarding occupational education at the postsecondary level: (a) an update of the Directory of Postsecondary Schools with Occupational Programs; (b) A Survey of Programs and Enrollments in Noncollegiate Postsecondary Schools (designed to assess programs offered, enrollments, completions, and teaching and administrative staff); and (c) a survey of Characteristics of Students in Noncollegiate Postsecondary Schools to develop national estimates regarding socioeconomic background, reason for selecting major field and school, educational and employment backgrounds, and plans for the future.

The Effectiveness of Public & Proprietary Occupational Training (Berkeley: Center for Research and Development in Higher Education, University of California, 1974).

Wellford Wilms, Project Director
Center for Research and Development in Higher Education
2150 Shattuck Ave.
University of California
Berkeley, CA 94704

The objective of the study was to identify systematic differences between public college and proprietary school students across a variety of schools, institutions, geographic regions, and occupational programs. The study notes that public college and proprietary students march to different

drummers: the former to the political process, and the latter to the labor market. This difference shapes the way the schools spend their resources. The findings regarding student choices, motivation, and expectations after graduation tend to contradict previous studies.

Private and Proprietary Education in California (In progress; expected completion date, June 1976).

Bruce D. Hamlett, Higher Education Specialist
California Postsecondary Education Commission
1020 Twelfth St.
Sacramento, CA 95814

This study, designed to assess the current laws regulating private nonprofit and proprietary institutions in California, will include: (a) a descriptive survey of proprietary institutions; (b) an assessment of the effectiveness of Division 21 of the Education Code in assuring the quality of degree certification and other educational programs offered by proprietary schools; (c) an assessment of the consumer protection afforded by Division 21; and (4) a set of policy recommendations regarding proprietary institutions.

MISCELLANEOUS STUDIES

Representing the Private Sector of Higher Education (Not available).

Association of American Colleges
1818 R St., NW
Washington, DC 20009

This study, carried out under a grant from four foundations, explored two major questions: What role should AAC play in representing private higher education? And, what should it do to foster liberal education? The key recommendation was for a separate organization to represent the interests of private higher education. This recommendation was adopted at the AAC meeting in February 1976.

National Commission on United Methodist Higher Education (In progress, expected completion date, June 1977).

T. Michael Elliot & Kent Weeks
Suite 925, 1808 West End Bldg.
Nashville, TN 37203 (615-329-9393)

This study seeks to identify the importance of the church-related sector--and, more specifically, the role of the United Methodist Church--in higher education. It will analyze the status and condition of campus ministries and institutions connected with the United Methodist Church, with special attention to financial distress. Recommendations will be made about public policies relating to independent higher education and about the ways in which individual institutions and campus ministries can cope with their future environments.

The Future Research Role of Universities (In progress).

Bruce Smith & Joseph Karlesky
Association of American Universities
Suite 730, #1 Dupont Circle
Washington, DC 20036 (202-293-6177)

This project, directed at those who are interested in or who make decisions regarding the research role of both public and private universities, has four major goals: (a) to analyze the events and forces that have affected the academic sciences over the past few years; (b) to assess the effects of these upon academic science; (c) to analyze the implications of current developments, and of developments which may be reasonably anticipated, upon

the future research role of universities; and (d) to reappraise the relation between academic science and government, review patterns of federal support for academic science, and suggest guidelines appropriate for the future.

Study of Innovative Education (In progress; expected completion date, June 1977).

David Riesman & Gerald Grant
C/o Riesman, Henry Ford II Professor of Social Sciences
#380 William James Hall, Harvard University
Cambridge, MA 02138 (617-495-1502)

This project is part of an ongoing effort to understand the "natural history" of large-scale educational reforms in small institutions, public and private, over the last few decades. It seeks to answer such questions as: Where do reforms originate? How are they disseminated, implemented, or sabotaged? How appropriate are they? As a first step, institutional archives and secondary sources will be examined, and oral history on recent developments will be collected in site visits to campuses.

Report of the Regents' Advisory Commission on the Financial Problems of Postsecondary Institutions (Albany, NY: Board of Regents, September 1975).

Nathan Pusey, Chairman
Regents' Advisory Commission on the Financial Problems
of Postsecondary Institutions
State Education Bldg.
Albany, NY 12234 (518-474-1201)

This report, with recommendations, of the financial problems of New York State's postsecondary institutions is of interest because the New York situation has several unique features: (a) the sheer size of its postsecondary enterprise, (b) the rapid growth of the massive SUNY and CUNY systems in a state which also has a wide range of private institutions, and (c) the projected population trends, which suggest a significantly lower growth rate than that projected for the rest of the nation. The report encourages more extensive long-range planning and more careful consideration of the probable effects of public policies on higher education institutions.

NOTE: The following four publications were all part of the same project.

More Than Survival: Prospects for Higher Education in a Period of Uncertainty (San Francisco: Jossey-Bass, 1975).

Board of Trustees
Carnegie Foundation for the Advancement of Teaching
437 Madison Ave.
New York, NY 10022

The first in a new series of commentaries with recommendations, this report discusses the "dramatic, even traumatic, change of condition" in higher education: the prospect that, in the future, "growth may be both unsteady and uncertain." In addition to projecting enrollments to the year 2000 and forecasting the future for various types of institutions, the report outlines what institutions and public policy can do to alleviate the distress caused by reduced growth, urging institutions to take the initiative in ensuring their own future. The enrollment and institutional health of major universities and public community colleges will be above average, those of comprehensive colleges and universities, private community colleges, and less selective liberal arts colleges will be below average. Three special projects, commissioned to provide background for this commentary, are discussed below.

Presidents Confront Reality: From Edifice Complex to University Without Walls (San Francisco: Jossey-Bass, 1976).

Lyman A. Glenny, John Shea, Janet Ruyle, & Kathryn Freschi
Center for Research and Development in Higher Education
2150 Shattuck Ave.
University of California
Berkeley, CA 94704

A survey instrument, developed in the summer of 1974, was mailed to some 2,500 college and university presidents, asking them for their perceptions of change on their campuses between 1968 and 1974 and for their expectations of change over the period from 1974 to 1980. The topics covered included student enrollments, capital outlays, faculty, new markets or new resources, new planning and management techniques, shifting patterns of governance, and the helpfulness of various master plans. Some of the more interesting findings were: Almost half the presidents expected that their enrollments would increase by more than 10 percent between 1974 and 1980; almost half expected little or no increase in their operating expenses between 1974 and 1980; only 10 percent expected to be involved in substantial building programs

in 1980; and 10 percent expected that their institutions would merge or close by 1980.

Managing Multicampus Systems: Effective Administration in An Unsteady State (San Francisco: Jossey-Bass, 1975).

Eugene C. Lee & Frank M. Bowen
Center for Research and Development in Higher Education
2150 Shattuck Ave.
University of California
Berkeley, CA 94704

Repeating their 1971 analysis of multicampus state systems, Lee and Bowen found a significant increase in systemwide activity. While this activity is meritorious, there exists a potential conflict between coordination and governance. Care must be taken to assure that multicampus systems are not insensitive to the values and needs of the individual campuses. Statewide activity should focus on improving the quality of campus decision making, not on preempting judgments at the systemwide level.

Challenges Past, Challenges Present (San Francisco: Jossey-Bass, 1975).

David Henry
President Emeritus, University of Illinois

An interesting protrait of the last 45 years in American higher education, this report stresses the cyclical pattern, suggesting that the present situation is not necessarily fatal. Three continuing factors in the last 45 years are: (a) oscillations in growth; (b) constancy of change; and (c) the significance of public evaluation.

Planning Models for Top Administrators in Colleges and Universities (In progress; expected completion date, August 1976).

William F. Massy, Vice-Provost for Research
Stanford University
Stanford, CA 94305 (415-497-3903)

The purpose of this project is to provide planning models that top administrators can use in setting overall financial and budget strategies and in identifying critical trade-offs, in processing and assessing information and judgments relevant thereto, and in publicizing the results to the university's various constituencies. The project seeks to develop the concept of Long Run Financial Equilibrium (LRFE), which involves budget balance and equality of the growth rates of income and expense.

A Life Prospectus: Alliance College (In progress, expected completion date, July 1977).

Dr. Walter Smietana
Alliance College
Cambridge Springs, PA 16403 (814-398-4611, x383)

This project addresses itself to developing a methodology that will result in a written prospectus to guide the mobilization anc commitment of institutional, human, and physical resources for maximal productivity in pursuit of the school's mission. The study suggests that increased concern with the quantity and quality of life and social auditing strengthens the life strategies of private institutions and their prospects for survival.

"Theoretically Forecasting Course Enrollments for the Next Academic Term: A Model Developed at a Four-Year Business College" (Unpublished dissertation, 1976).

Charles Ehl, Associate Dean
Bentley College, Beaver and Forest Sts.
Waltham, MA 02154 (617-891-2000)

Most techniques for forecasting enrollments are limited to projections at the departmental and divisional level and assume that total institutional enrollment will remain unchanged. This model attempts to move beyond this assumption, providing a method for estimating enrollments at the course level.

The Mission and Future of Wittenberg University (In progress; expected completion date, December 1977).

C. David Cornell, Vice-President for Advancement
Wittenberg University
Springfield, OH 45501

This project aims at bringing together the separate constituencies of the university community to identify priorities and plan the future. The differing missions and priorities of the university will be reexamined and synthesized, and a new consensus will be developed and communicated to the university community.

"Trends in Higher Education: Review of Recent Literature" (Recently completed).

Allan O. Pfnister
University of Denver
Denver, CO 80210 (303-753-3181)

A comprehensive review of the recent literature in higher education, this volume is designed to aid college administrators and faculty and to give a general perspective on the state of the higher educational enterprise in mid-1975. Areas covered include: enrollments, students in the 1970s, governance, instructional programs, finances, and implications for the predominantly undergraduate church-related institutions.